DOCUMENT RESUME

ED 333 053 UD 027 155

TITLE Meeting the National Need for Minority Scholars and Scholarship: Policies and Actions.
INSTITUTION State Univ. of New York, Stony Brook.
PUB DATE 23 Jan 89
NOTE 35p.
PUB TYPE Reports - Evaluative/Feasibility (142) -- Information Analyses (070)

EDRS PRICE MF01/PC02 Plus Postage.
DESCRIPTORS Abstracts; *American Indians; Black Students; Conferences; Graduate Students; Higher Education; Hispanic Americans; *Minority Groups; *Policy Formation; Scholarship; *School Holding Power; *Student Recruitment
IDENTIFIERS *African Americans; *Latinos

ABSTRACT

This two-part document presents recommendations for meeting the national need for African American, American Indian, and Latino scholars, and reports on a conference on the role of college faculty in meeting that need. Part 1, "Meeting the National Need for Minority Scholars and Scholarship: Policies and Actions," emphasizes that college and university administrators and trustees, professional associations and accrediting agencies, and state and Federal governments, as well as faculty, determine who will be successful in scholarly careers. Recommendations and actions are suggested for the following groups: (1) federal government; (2) state governments; (3) professional and accrediting agencies; (4) institutions of higher education; and (5) faculty. A list of 25 references is included. A list of Federal goals for graduate education and a summary of successful approaches to faculty diversity in California are appended. Part 2, "Summary Report: The Stony Brook Conference on the Role of Faculty in Meeting the National Need for African American, American Indian, and Latino Scholars," summarizes a three-day conference held in November 1988 that emphasized the faculty role. Eighteen papers on the following topics are abstracted: (1) admissions and outreach; (2) mentoring; (3) enlarging the canons and boundaries of scholarship; and (4) incentives and rewards for faculty. An action agenda is suggested. A list of participants is appended. (FMW)

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MEETING THE NATIONAL NEED FOR MINORITY SCHOLARS AND SCHOLARSHIP:

POLICIES & ACTIONS

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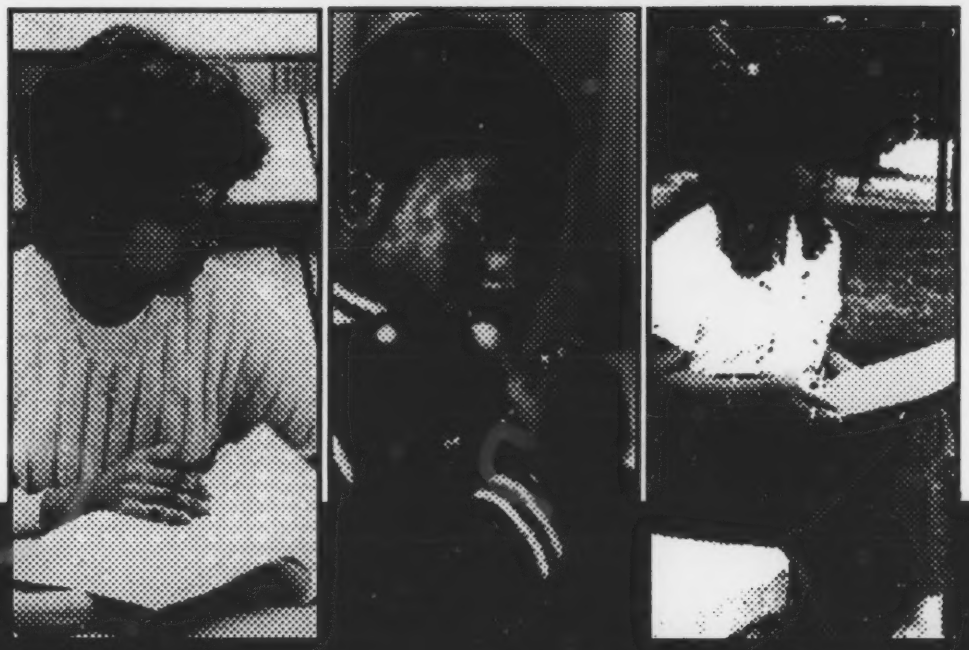

MEETING THE NATIONAL NEED FOR MINORITY SCHOLARS AND SCHOLARSHIP:

The nation's ability to compete is threatened by inadequate investment in our most important resource: people. Put simply, too many workers lack the skills to perform more demanding jobs. And as the economy comes to depend more and more on women and minorities, we face a massive job of education and training . . . . Can we afford it? We have no choice.

Business Week
September 19, 1988

Designed and Printed by
The Department of Graphic Support Services
State University of New York at Stony Brook

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Summary Report:
The Stony Brook Conference on the Role of Faculty in Meeting the National Need for African American, American Indian and Latino Scholars

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Preface

An invitational conference on meeting the national need for African American, American Indian and Latino scholars was organized by the State University of New York at Stony Brook in November, 1987. For three days more than eighty participants—mainly faculty and administrators selected from Ph.D.-granting institutions and from important national organizations—assessed the critical role faculty play with regard to this issue.

In July of 1988, fifty participants were invited back to Long Island to spend another weekend deliberating two issues which were not sufficiently examined in the first session: (1) expanding the canons and boundaries of the scholarly disciplines to include non-European perspectives and (2) making effective use of incentives and rewards for faculty as a way to induce institutional change.

A Policy/Action Group was formed to draft and circulate a set of recommendations. After being reviewed and approved by the National Advisory Council, these recommendations are being widely distributed. Individuals in all parts of the country are asked to consider them and work for their adoption and incorporation into policy and practice at their institutions.

The planners and invitees to this conference were mainly African American, American Indian and Latino academics and administrators whose personal and professional experiences authenticate their statements. The proposals generated aim to transform institutions of higher learning, and reflect the understanding that successful participation by people from these groups is essential to the effectiveness of graduate education as a whole.

As one participant-observer wrote, "Good conferences, once underway, have a life of their own. Participants, caught up in the moment, frequently believe that they can accomplish almost anything. The truly exceptional conferences, moreover, are those that live beyond their moment, that engage conferees so thoroughly in the issues raised that they carry the meeting's message beyond, and in so doing, transform themselves and those around them. In the final hours of these two Stony Brook conferences, participants made it abundantly clear that they wanted to maintain the conference's momentum." To sustain the effort, two initiatives were identified: first, participants were encouraged to work at the "local level", i.e., within their own departments and institutions, to implement recommendations that emerged from the conference's working meetings, and second, to work at the national level, as one conferee put it, "to create a nationwide coalition that would make the conference's central issues part of the national educational agenda."

Expansion of opportunity at the graduate level is directly controlled by faculty, for it is they who admit graduate students, award assistantships and fellowships, mentor and advise, and ultimately determine who can be successful in scholarly careers. But these faculty prerogatives are not exercised in a vacuum, for there are other entities responsible for our system of higher education: college and university administrators and trustees provide leadership, direction and control of resources; professional associations and accrediting agencies establish standards; state and federal government set policy and provide the operating funds to meet state and national goals. Thus, to find solutions to the worsening problem of the underrepresentation of African American, American Indian and Latino scholars, the following recommendations are directed to each entity.

In recent months many articles and reports have appeared in the popular and professional media warning of the dire consequences which will befall higher education, our nation, and our way of life if we fail to develop the human talent and intellectual ability of all of our people, regardless of color, gender, or class. These reports and articles have focused mainly on the deplorable deficiencies of pre-college education—the level at which the general public, and particularly the business sector, see the most critical problems and potential for greatest impact. This pre-college focus is to be commended, not only for its attention to improvement in education for all children, but especially because a sustained and appropriate commitment to improving pre-college education can directly address many of the problems that limit the opportunity of minority children in their pursuit of higher education. Yet while we focus on pre-college needs, we must not be short-sighted and overlook the many urgent challenges facing graduate education—problems that demand prompt attention. As a nation if we hope to maintain our economic, social and political edge, we must support graduate education which generates new knowledge, produces skilled professionals, and provides the teaching faculty for colleges and universities.

Those involved with higher education, the Bush administration and the Congress, must commit themselves to addressing the following recomendations with all deliberate speed.

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SUNY at Stony Brook
23 January 1989

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Policies and Actions

It is not difficult to find agreement among a broad range of individuals and interested groups that the lack of minority scholars is of grave concern. What is currently missing is a set of clear statements to guide policy development on the issue, a reference source against which progress can be measured. Following is a series of broad policy recommendations applicable to the actors and institutions which must play a role in solving the problem: government at national and state levels, professional and disciplinary organizations, accrediting associations, institutions of higher education, and, most important of all, faculty themselves.

National Level

It is clear that in the area of the production of minority scholars and scholarship, the Federal Government has more impact than any other entity outside of the university itself.

Young people in this country will live most of their lives in the twenty-first century. The problems of that century for our country and the world—in areas as diverse as limiting environmental degradation, solving new challenges to health care and epidemiology systems, providing and distributing adequate housing and food, and providing and maintaining infrastructure for agriculture, industry, transportation and communication—require solutions more ingenious and complex than any of those posed to society heretofore. Only the complete utilization of all of our intellectual resources will do. This increasingly means making sure that advanced education is truly accessible to all those whom it can benefit and whose education can benefit all of us.

More and more, those who lead us, in every sector, need to have education beyond the baccalaureate. To maintain our country's economic position in an increasingly competitive world, to contribute to the solution of our own domestic problems, and because it is *right*, we must bring the best, at all the levels of education, to all of our citizens. And because the issue is national, part of the response must also be national. We feel the Federal government must participate in promoting a comprehensive, long-range agenda which incorporates at least the following measures to increase the number of minority scholars:

- developing the minority talent pool;
- financing graduate students;
- redefining and reshaping research policies and practices;
- strengthening the placement and employment of minority scholars;
- supporting the creation of institutes to incorporate plural scholarship into the academy; and
- creating and maintaining an accurate data base on students at all levels of education.

In framing the following recommendations, we understand that in the broadest sense the problem will only be solved when systemic changes occur in the nation's public schools, in business and industry, and in other aspects of American life. Our focus for purposes of this section, however, has to do primarily with changes in policies or practices at the Federal level or which Federal action can induce.

Federal Action to Develop the Minority Talent Pool

We know there are many persons in our country who have the potential to earn graduate degrees—including the Ph.D.—and who happen to be African Americans, American Indians or Latinos. The current system is ineffective and inefficient in identifying, recruiting, enrolling, retaining and graduating such people.

There are many ways to improve the access of African Americans, American Indians and Latinos who will go to graduate school directly after earning bachelor's degrees. We note, however, that there is an important additional potential pool of minority graduate students—returning students with undergraduate degrees who are already embarked on careers and/or have families to support. This group faces a series of extra barriers in the current system, such as lack of affordable, high quality day care for young children, family housing which is either too expensive or substandard, and policies governing the expected time to degree completion.

Recommendations

1) **Provide or increase grants and funding to institutions that demonstrate or develop programs of outreach to and identification, retention, progress and graduation of minority students at the graduate and professional level.** (e.g., Title IX A, *Grants to Institutions to Encourage Minority Participation in Graduate Education.*)
2) **Fund a national research center for the study of higher education, with a major focus on the examination of factors affecting minorities in higher education. This center should be mandated to collect, compile, synthesize and disseminate research.**
3) **Sustain and strengthen traditional ethnically-based institutions of higher education, such as tribally-controlled colleges, historically black institutions and comparable Latino institutions.** The existing Title III program under the Higher Education Act, appropriately modified, may be one such mechanism.
4) **Increase the opportunities for returning minority graduate students through financial support (e.g., family assistance for child-care and Federal housing**

subsidies, either for individuals or for the construction of campus housing for graduate students with families) and through grant policies (e.g., elimination of inappropriate time limits for work toward advanced degrees under Federal fellowships).

5) **For efficiency and cost-effectiveness, require that all Federally-funded programs aimed at improving education for minority students demonstrate that they are operating under a coordinated system with common procedures.**

6) An over-reliance on standardized examinations for identification of talent is negatively affecting African Americans, American Indians and Latinos at the time they seek entrance to graduate education and when they exit the academy to move on to careers. **Federal leadership and support are needed for research on and development of alternative measures of identifying potential and ability.**

7) **Encourage and foster the creation of industry/government-sponsored activities and programs to identify and fund potential minority scholars. The field of engineering has demonstrated effective models in this regard over the last fifteen years.**

8) More than a decade has past since the National Board on Graduate Education produced a report with recommendations entitled *Minority Group Participation in Graduate Education.* **The Federal government should fund a comprehensive update of that report.**

Federal Action to Finance Graduate Students

Graduate education, unlike undergraduate education, does not have large, income-sensitive financial aid entitlement programs. Instead, financial aid for graduate students is largely funded through fellowships, research and instructional dollars, with other support coming from work study and loan programs.

Adequate financial support is crucial for the full participation and success of targeted minority students in graduate programs. And it should be remembered that such resource allocations are investments in human capital.

Assistantships are of particular importance to minority students, because "this form of aid seems to intensify student involvement in graduate study, promote professional development, and strengthen the bond between student and faculty mentor." (*Final Report of the Commission on the Higher Education of Minorities*, Highe: Education Research Institute, Los Angeles: 1982, p 35.)

Recommendations

1) Educational loans at the undergraduate level, and the prospect of incurring even more debt at the graduate level, deter numbers of talented minorities from considering graduate school. **Federal financial aid policy, which in recent years has emphasized loans over grants, should be reversed. The entitlement programs now on the books should be financed at levels sufficient to fully fund all eligible students.**

2) **Where loans are part of a minority graduate student's financial aid package, there should be forgiveness provisions for those entering academic careers, to provide some counterbalance to competition from industry.**

3) **We endorse the recommendations included in the report of the Graduate Education Subcommittee of the National Commission on Student Financial Assistance (1983), particularly those on "Insuring Support for Talented Graduate Students" related to fellowships, research and training assistantships and Federal loan programs.** (See Appendix A.)

4) **We particularly support the creation of one-year awards for dissertation support of students in the arts, humanities and social sciences.** National Research Council data show that doctoral studies in these fields take longer than in science and engineering and that African American, American Indian and Latino students are more concentrated in these fields. Research assistantships are not available for their later years of graduate study.

5) **Federally funded fellowship programs should include summer research grants, assistantships, advanced research and training opportunities and early identification of potential recipients.** ("*Memorandum to the 41st President of the United States,*" Commission on National Challenges in Higher Education, Washington, D.C.: 1988, p 9.)

6) **Funding should be increased for the Patricia Roberts Harris Fellowship Program (Title IX.B of the Higher Education Act) to make more fellowships available in addition to funding each recipient at the same level as the National Science Foundation Fellows.**

7) **There should be stronger language and sanctions mandating principal investigators on Federal grants to be accountable for providing research opportunities for underrepresented minority graduate students.**

Redefining and Reshaping Research Policies and Practices

In light of demographic realities, it is imperative that a national research agenda be developed which will be responsive to the interests and needs of minority communities, reflecting a national awareness of the importance of full development for all citizens.

We are concerned about who participates in defining the research agenda for the nation in the years ahead. This necessarily includes appointments to the policy-making positions in the National Endowment for the Humanities, National Institutes of Health and Mental Health and the National Science Foundation.

The national research agenda shapes both the approaches and the perspectives our country adopts in addressing its needs and forwarding its policies. The setting of a research agenda in one generation has impact a generation and more later. The space program and the campaign to eradicate polio each in its own way affected the social fabric of the entire country.

Given our continuing cultural, social and economic changes, it is both an ethical and a human resource concern that requires the research agenda to reflect the pluralism of our country.

Recommendations

1) **Federal agencies and departments must be charged, in their allocation of research resources, to enhance opportunities for socially responsible research regarding minority populations, communities and concerns.**
2) **Representation of African American, American Indian and Latino scholars should be mandated on all Federal and other national level review boards.**
3) **Regulatory language should make clear that African American, American Indian and Latino scholars and graduate students must have fair access to all Federally funded research opportunities. Bureaucratic obstacles which fail to recognize the circumstance of numbers of minority students, such as the 20-credit rule for NSF fellowships, should be changed. When institutions with concentrations of students from these targeted groups are not themselves judged competitive for certain projects, collaborative and consortial arrangements should be encouraged and funded.**

Federal Action in Placement and Employment

To make graduate education worthwhile for African Americans, American Indians and Latinos, we must open career pathways which use the skills and knowledge developed from that education. Too many advanced degree holders are currently underemployed or working outside their fields. This represents a tremendous waste.

Recommendations

1) **Institutions receiving Federal support for programs aimed at increasing educational opportunities for minorities (e.g. TRIO, HCOP, NIMH, NSF Fellows) should be held accountable for hiring, retaining, tenuring and promoting minority faculty.**
2) **Corporate recipients of Federal grants and contracts should mount partnership programs with graduate schools to enhance the development of minority scholars.**
3) **The effectiveness of graduate programs in placing their minority graduates, based on up-to-date placement records, should be a criterion in institutional competitions for Federal grants and contracts.**

Federal Action to Create Institutes for Cultural Pluralism

Demographic changes now taking place in the United States will profoundly alter intergroup relationships in the society as a whole and in certain regions in particular. For instance, the documented rise in racial and ethnic violence in America is one response to perceived changes in the socio-economic and political status of people of color—changes which diminish the power and influence of the historically white majority.

The changes will continue. In the interest of the whole society, we must prepare for them.

The history of the United States shows a continual struggle to assimilate ethnic/racial newcomers into the "mainstream" of American life. The emphasis on assimilation, which ignores or attempts to eliminate cultural differences, has diminished our appreciation of the value of cultural diversity and how it enriches our lives.

In America, violence has often accompanied social change. But it does not have to be that way.

Universities can play a major role in bringing about a better response to changes in society. They create, interpret and disseminate new knowledge that enables us to understand and accept change. The Federal government, in recognition of this unique role, should promote positive responses to the new demographic realities by funding Institutes for the Study of Cultural Pluralism.

Recommendations

1) **The Federal Government should support creation of institutes to foster cultural pluralism.** Federal grants would be used to establish Regional Centers to educate and inform the citizenry, to consult and be consulted on how to bring about desirable change in institutional and social life, with a view to giving diversity a positive, rather than a negative, value in American life. The very existence of such institutes will increase the production of scholarship on matters of interest and concern to members of ethnic minority groups, increasing the number of minority scholars in the process.

   A model for the proposed institutes is in the recent recommendation by the National Science Board to boost minority participation in the science and technology work force by establishing Comprehensive Regional Centers for Minorities. The grant program is designed to encourage collaboration among colleges and universities, community groups, local and state governments. Initial funding for each of three centers is about $700,000, with the possibility of as much as $4 million over five years. Programs offered through the centers will be tuition free. ("NSF Notes," *MRS Bulletin*, December 1988, p. 23.)

Federal Action to Create and Maintain an Accurate Data Base

Without reliable and timely information about the status of minority scholars in training, it is impossible to monitor the effectiveness of current programs and policies or to hold institutions accountable for results. Since 1982 we have seen a degradation in the comprehensiveness, timeliness and availability of Federally-collected and held data on the status of minorities at all levels of education. Only with such information can we accurately identify where there are problems, suggest where resources might be well invested, and ultimately come to conclusions on how to achieve the same levels of quality and excellence in education for citizens of color that we want for all of our people. Finally, in this regard,

without a better data base, all of the recommendations we put forth will lack the means of accountability to make them work.

Recommendations

1) **The Federal Government should create and maintain a consistent, national, comprehensive and annually-collected data base on all students that is easily accessible to the general public.**
2) Current categories of ethnic identification inhibit the careful analysis necessary to develop effective policies. **The Federal Government must commit resources to the development and maintenance of an ethnic identification system which reflects current demographic realities.**

The State Level

Most of the great public universities and systems of higher education in this country are organized at the state level. It is also at this level, in most states, where program offerings are evaluated and coordinated. Typically, the states finance broad programs of student financial aid, including some at the graduate level, and sponsor grants and institutional incentive programs to achieve certain social ends.

State higher education governing bodies can, through general statements of policy and through continued demonstration of commitment, provide strong leadership throughout all the public and independent higher education institutions of a state with respect to equity issues at the graduate level.

The process of selecting a career requiring graduate study starts early in the educational pipeline—perhaps in kindergarten or preschool. States, with their comprehensive responsibility for education at all levels, are in the best position to increase attainments of minority students at all these levels.

Recommendations

1) "A 1985 study conducted by the Association of Governing Boards of Universities and Colleges (AGB) found that the vast majority of the nation's college and university trustees—approximately 90 percent—are white. Six percent are black, 3 percent are Asian or American Indian, and less than 1 percent are Hispanic." ("The Ivory Board Room," S. Ranbom, *Educational Record*, v.68, n.4/v.69, n.1) **Governors and state legislatures should appoint African Americans, American Indians and Latinos as trustees, presidents and commissioners of post-secondary institutions and as staff responsible for program review and approval. They should take care to ensure that all persons given such responsibilities exhibit a genuine and consistent commitment to educational equity.**
2) **State-level academic program reviews of public and independent institutions should incorporate criteria to measure how much these institutions contribute to increased educational opportunity and success—especially at the graduate level.**
3) **In the allocation of fiscal resources to post-secondary activities, states should**
   - **make sure that funding formulas do not penalize unfairly those institutions working with high-risk and high-cost populations (e.g., mandated class sizes, staffing formulas);**
   - **provide or increase grants and funding to institutions that demonstrate or develop programs of outreach to and identification, retention, progress and graduation of minority students at the graduate and professional level;**
   - **insure that, where financial aid programs exist for graduate students, there is a mix of merit aid with aid based on financial need and targeted to underrepresented groups;**
   - **adequately support historically black or other predominately minority institutions, in recognition of their role in producing minority scholars, and encourage the growth of graduate-level programs when appropriate.**
4) To increase the flow of successful African American, American Indian and Latino students into graduate school, it is necessary for these students to make the critical transitions at every stage, from preschool through baccalaureate study. **States should establish or enhance categorical bonus grants as incentives to institutions which make those successful transitions possible.**

Professional and Accrediting Organizations

Among college faculty, the national discipline-based associations are a key force in forming and promulgating norms of acceptable behavior, disseminating information, and defining excellence.

These associations also publish journals which function significantly in the dissemination of new knowledge and in providing outlets for the publication necessary to advance faculty careers.

The regional accrediting associations are the most comprehensive means by which post-secondary institutions validate their legitimacy and are held accountable for their operations.

Recommendations

For Umbrella Organizations

1) **Those organizations which act as discipline-oriented umbrellas, such as the American Association for the Advancement of Science, the American Council of Learned Societies and the Social Science Research**

Council, should promulgate statements of principles about minority scholars and pluralistic scholarship to which they urge their member organizations to adhere.

For Professional Associations

2) **Professional associations should make sure there is significant minority representation among referees for journal articles and on editorial boards.**
3) **The associations should set quantifiable goals for minority participation in their fields over time, recommend strategies for achieving such goals and set up ad hoc or standing committees to monitor and report regularly on these issues.**
4) **The associations should demonstrate their support for responsible pluralism in scholarship, through recognition of, tolerance of, and regard for emerging and new theoretical and methodological approaches and non-European cosmologies and epistemologies.**
5) Those minority scholars seeking knowledge on unconventional topics must have opportunities to create new research methods and concepts. They need a forum for this work. **Professional journals should provide for occasional critical essays presenting innovative research methodology, new theories and reexamination of the objectives of the discipline.**
6) **The associations should create paths for potential minority leaders in their disciplines through mentoring, internships, committee appointments, fellowship programs and the encouragement of presentations by minority scholars.**
7) **The agenda of professional meetings should make adequate room for pluralistic perspectives. These agenda should also include opportunities for papers and presentations by African American, American Indian and Latino graduate students. Outreach to corresponding minority discipline-oriented associations, through joint conferences and publications, should be increased.**

For Accrediting Organizations

8) **The regional voluntary accrediting agencies should revise their criteria as explicated in their operating manuals and guides to include measures of progress toward minority equity as part of the legitimization process.**
9) **Extraordinary efforts should be made to include African Americans, American Indians and Latinos as members of accreditation teams. The make-up of such teams should always, as a matter of policy, include persons committed to and sophisticated about issues of minority access and equity.**
10) **Accreditation review boards should incorporate into guidelines for self evaluation the efforts of universities to bring new perspectives into existing departmental structures or to create centers for the development of such new perspectives.**

Institutions

It is the institutions of higher education which mediate between pressures from "outside" (government policies, professional organizations, community groups and the like) and from "inside" (faculty or students who propose or oppose change). Well-meaning faculty and well-conceptualized programs will founder if institutions do not provide a day-to-day framework of leadership, administration, accountability, and incentives appropriate to the task; for every American college, no matter how much it appears to be part of a larger system, is largely autonomous in its day-to-day operations.

No institution can be excellent without being truly plural, but while commitment to excellence is everywhere stated in the explicit policies of institutions, similar statements of commitment to pluralism are absent. For the years ahead, the major challenge is for universities to dedicate themselves to social justice and then to translate the commitment into practice.

Recommendations

To create the environment for institutional changes essential to bringing more African Americans, American Indians and Latinos into scholarly training and careers, university administrators—presidents, deans, department chairs—must exercise responsibility for **conceptual leadership**, for an explicit **academic plan** with the goals of excellence and pluralism, for enhanced recognition of **mentoring**, and for the use of **incentive and reward systems** to reinforce desirable changes in faculty behavior.

Conceptual Leadership

Nowhere is conceptual leadership more important than in pursuit of educational equity. Such processes as affirmative action depend on conceptual clarity to undergird workable and effective systems, whether for recruitment, hiring, promotion or the allocation of resources.

We support the recommendations expressed in *The University of California in the Twenty-First Century: Successful Approaches to Faculty Diversity*, J.B. Justus, Project Director, 1987, pp 69-76. These recommendations, while specifically directed to faculty, department chairs, chief executives and their administrators at UC, are action-oriented and widely applicable.

Two of the recommendations aimed at chief executives are particularly appropriate strategies to increase the numbers of African American, American Indian and Latino scholars.

1) **"Whatever the management style, affirmative action must be measured by the ability of an administrator to translate commitment into action. All managers should be held responsible for their contributions to this institutional commitment. . ."** p. 74
2) **"To underscore the responsibility of department chairs to fulfill institutional commitments to affirmative**

action, [administrators] should institute appropriate communication and incentive structures (including orientation for new chairs, annual institution-wide goals, special funds and awards of positions as incentives)." p. 75

3) Programs of faculty and staff development must be designed, funded and implemented so as to ensure the fullest participation of all segments of the university community. The objective of such programs would be to inform, to educate and to develop normative institutional standards of conduct and practice devoid of overt and covert manifestations of racism and sexism.

Academic Plan

4) The faculty leadership group of the university, including the chief administrative officer, deans, chairs, graduate directors and key individuals in faculty governance must develop an academic plan which incorporates the issues of cultural pluralism into the overall mission and operation of the institution.

Incentives and Rewards

5) Institutions and their leaders should use the whole panoply of traditional incentives and rewards for faculty in order to improve and increase university effectiveness in increasing successful participation of targeted minority groups in the scholarly pursuits.
   - Criteria for tenure and promotion should include positive weight for faculty who work effectively with students and beginning faculty from targeted ethnic and racial minorities.
   - Recognizing how valuable time is to faculty members, institutions should provide resources—research assistantships, secretaries, equipment, as appropriate—to acknowledge and make time available to faculty for these activities, and should make clear that the resources are provided for these supportive purposes.
   - Other possible incentives for faculty include:
     - –fellowships and grants as recognition for outstanding work with targeted minority students,
     - –leave time for faculty to develop curricula, work on minority recruitment and mentor minority students,
     - –salary increments tied to success in nurturing targeted minority students,
     - –individual awards in the form of peer recognition, e.g., "Mentor of the Year Award."
6) Institutions can develop opportunities to nurture and develop African American, American Indian and Latino faculty by providing
   - professional development leave time
   - postdoctoral fellowships
   - hiring set-asides specifically for target groups
   - faculty exchange opportunities
   - visiting professorships
   - research funds
   - conference funding

The Faculty

Whatever policies, strategies, or actions might be suggested or recommended by any group, in the end, the faculty, more than any other individuals, necessarily have and will continue to have primary responsibility for increasing minority scholars and scholarship. It is the faculty who recruit graduate students, who are responsible for the awarding of assistantships and fellowships, and who must provide extended mentoring and guidance if students are to be successful in attaining advanced degrees. It is the faculty who are responsible for providing an academic environment which will enhance the success of these students. It is also faculty who preside over the growth and development of their disciplines.

At the graduate level, more than anywhere else in American education, faculty determine who will succeed.

Collegial behavior—acting as members of departmental and disciplinary groups—is typical of faculty in all fields. But it is individual faculty members who have the greatest impact on graduate students as they proceed toward advanced degrees. Many of the recommendations that follow are calls to action and responsibility by individual members of the faculty. We recognize that pressures to conform may sometimes make individual action difficult, especially for junior faculty. **We call on senior faculty to take the lead in accepting and carrying out these recommendations.**

Recommendations

Changes in faculty roles and behavior must occur in three areas: **outreach and admissions**, to expand the number of people in the target groups who are qualified for successful graduate study; **mentoring**, to enable more members of target groups to find the career-oriented faculty support they need; and **defining scholarship**, to increase the responsiveness of scholars in the disciplines to a plural society.

Outreach and Admissions

1) Faculty need to review critically those criteria and procedures for admission which for underrepresented groups do not effectively identify students with scholarly potential, and then to propose and implement alternatives.
2) Faculty and teachers should attempt to identify talented young people early in their schooling, and encourage them to consider and prepare for academic careers.
3) To increase the quality and quantity of undergraduate applicants, faculty should develop and expand "bridge programs;" for example, programs designed to create links between the senior high school and freshman year, the senior undergraduate and first year of

graduate school, and programs which engage undergraduates in quality research projects.

4) **Faculty should become more directly and actively involved in recruitment, especially in predominantly minority institutions and among groups traditionally underrepresented at the graduate level.**
5) **Networks should be built or strengthened to expand the information base of minority students about schools receptive to them, through visiting scholar and faculty-student exchange programs, institutional partnership arrangements, and minority alumni associations.**
6) **The extent of outreach should be creatively expanded to underutilized minority talent pools in traditional "terminal" master's programs, to working professionals, and to ABDs and other returning scholars.**

Mentoring and Advising

7) **To increase the effectiveness of faculty mentors, attention should be paid to the professional development of faculty in such roles; e.g., through periodic workshops and through systematic training in cultural knowledge and sensitivity to ethnic and racial groups.**
8) **All faculty, especially those in senior and emeritus roles, should be involved in mentoring; especially effective mentors should be tangibly rewarded.**
9) **Faculty advisers should be held accountable for fair, equitable and effective performance.**
10) **Graduate students themselves should play an active role in mentoring, through assisting in the orientation of new graduate students and through critiquing the ongoing mentoring process.**

Defining Scholarship

The twin issues of increasing the number of minority scholars and defining the scope and nature of scholarship to be more responsive to a heterogeneous society are inextricably entwined. The pursuit of a scholarly life, which has its penalties as well as its rewards, will be more attractive to those groups we wish to recruit if the canons which define the limits of acceptable intellectual exploration are broadened to include the values and concerns which are central to people of color.

11) **Faculty in all disciplines can advance the practice of openness toward new perspectives by themselves becoming sensitive to points of view different from their own, whether in matters of content, method, focus, form or any other taken-for-granted standard.** Willingness, on the part of faculty, to remain open to alternative perspectives enhances the possibility of scholarly renewal and development within the disciplines.
12) **Faculty in all disciplines need to recognize the limitations that may exist in their departments, as well as in their disciplinary fields, for dealing with new elements in those fields. Where such limitations exist, faculty have a responsibility to seek appropriate remedies, whether within or outside their departments, institutions or disciplinary associations.**
13) **Faculty should, with administrators, periodically study ways to bring new perspectives into existing departmental structures or create centers for their development.** This is particularly important for fields that have excluded minority views because they are not recognized as part of the discipline's canon.
14) **Professional associations and academic units that house scholarly journals should require that their composition of review boards, editors, and readers be inclusive of people of color..**
15) **Universities and professional associations should encourage, develop, and financially support opportunities for faculty to seek additional training in order to enhance their understanding of and competence with the scholarly contributions and concerns of people of color.**

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Appendix A

National Commission on Student Financial Assistance

The National Commission on Student Financial Assistance was created by Public Law 96-374, The Education Amendments of 1980. Deliberating on those amendments, Congress realized there was a general lack of reliable information and well-informed policy recommendations on many fundamental issues of federal student assistance in postsecondary education. The National Commission was established to respond to this situation and to provide policy recommendations to Congress and the President.

Established in 1981, the National Commission is a bipartisan panel of members of Congress, leaders of the higher education community, and representatives of the public. The Commission is composed of twelve members, four appointed by the President of the United States, four by the Speaker of the House of Representatives, and four by the President Pro Tempore of the Senate:

Appointed by the President

David R. Jones, Chairman; member of the faculty, Vanderbilt University

Richard E. Kavanagh, Senior Vice President, Shearson/American Express Inc., Chicago, Illinois

Marilyn D. Liddicoat, Attorney-at-Law, Santa Cruz County, California

Kenneth R. Reeher, Executive Director, Pennsylvania Higher Education Assistance Agency

Appointed by the Speaker of the House of Representatives

John Brademas, President, New York University, former Member of the House of Representatives

Hon. John N. Erlenborn, Representative from Illinois*

Hon. William D. Ford, Representative from Michigan

Kenneth G. Ryder, President, Northeastern University

Appointed by the President Pro Tem of the Senate

David P. Gardner, President, University of California System

David M. Irwin, Executive Vice President, Washington Friends of Higher Education, Seattle, Washington

Hon. Claiborne Pell, Senator from Rhode Island

Hon. Robert T. Stafford, Senator from Vermont

*Replaced Hon. Wendell Bailey on February 24, 1983.

Goals for Graduate Education: An Agenda for Federal Action

The economic vitality, the security, and the quality of American life depend directly on the capacity of our colleges and universities to produce new knowledge as well as future generations of scholars. We jeopardize these dimensions of our national life if we reject the imperative to exert national leadership in graduate education.

Support of graduate education is not the sole responsibility of any one sector of our society. The federal government, state governments, foundations, and business and industry all have an interest in ensuring the vitality of graduate education. Given the charge to the Commission, however, this report focuses on the responsibilities of the federal government to the enterprise.

Federal support is indispensable to excellence in graduate education. Such support, moreover, should represent a "balanced portfolio" of funds for both research and student assistance and should be maintained on a stable basis over time.

An Agenda for Federal Action

Testimony before the Commission, research supported by the Commission, its own deliberations, and the work of the staff have convinced the Commission that, in order to meet national needs effectively and to ensure the quality of American graduate education, action by the federal government is essential.

The Commission outlines the following ten goals as an agenda for federal action for graduate education. These goals are designed to

1) Ensure support for talented graduate students
2) Increase the numbers of talented women in graduate education
3) Increase the numbers of talented minority students in graduate education
4) Maintain and enhance the nation's strengths in graduate research
5) Ensure that graduate laboratories, equipment, and instrumentation are of high quality
6) Enhance the quality of scholarly libraries and ensure that valuable collections are maintained
7) Attract and retain promising young scholars as faculty members
8) Meet pressing national needs for highly trained experts
9) Evaluate the impact of the federal government's decisions on the nation's needs for graduate-educated men and women
10) Improve both the quantity and the quality of information about graduate education

The following recommendations to accomplish these goals are, to reiterate, directed largely to the federal govemment. The Commission also urges action, as appropriate, on the part of state govemments, foundations, and business and industry.

A survey of existing federal programs and authorities indicates that much of this agenda can be accomplished without major new legislation. What is required, rather, is adequate support of existing programs. In the following sections, the Commission presents specific steps to accomplish the goals on this agenda and identifies existing federal programs to attain them. In those instances in which legislative authorities are lacking, new programs are described.

Recommendations

1. Ensure Support for Talented Graduate Students

Financial assistance to graduate students is as irnportant as support for research. The costs of pursuing graduate education are high and rising. Unless adequate student aid is available, the nation will not be able to attract the talented young people it needs into graduate education.

The federal government provides financial assistance to graduate students in a variety of ways. Through *fellowships*, a direct grant is made to the student as well as a payment to the institution to help cover tuition and other costs. Several federal agencies sponsor fellowships, most of them in the physical and health sciences and engineering. The National Science Foundation, for example, annually supports about 1,390 students in science and engineering. The National Institutes of Health support approximately 10,000 graduate students and postdoctoral fellows in biomedical and behavioral sciences and in clinical research. Although several federal statutes authorize fellowship support for students in the arts, humanities, and social sciences, few fellowships in these fields are presently funded.

The *research assistantship* is another form of support. Some portion of most research grants to universities assists graduate students in this way. Research assistantships are especially important because they provide both income to the student and research experience in the student's field of specialization. The number of students supported through this mechanism is difficult to deterrnine. In 1981, an estimated 27,000 students worked as research assistants in federally supported research and development projects. National Science Foundation research projects currently support about 9,600 students each year.

A third mechanism of support is the *teaching assistantship*. In 1981, an estimated 10,000 graduate students were employed as teachers of undergraduate classes, laboratory instructors, or tutors. Funds are derived almost solely from the instructional budgets of the colleges and universities themselves.

Three major *federal student aid programs* also assist students in meeting the costs of graduate study. These include the College Work Study program (CWS) and two loan programs, the Guaranteed Student Loan program (GSL) and the National Direct Student Loan program (NDSL).

If we are to maintain a strong system of graduate education, it is imperative that these sources of support be sustained. *In order to assure that sufficient numbers of talented young people enter graduate study in all disciplines, the Commission recommends that majorfederal programs of support for graduate students should be maintained and, in some instances, substantially increased.*

The Commission makes the following recommendations concerning fellowships:

- •The number of science and engineering fellowships in various agencies should be substantially increased, and stipends should be regularly raised to take into account the cost of living. Appropriate consideration should be given to areas within these fields experiencing shortages of doctoral-trained personnel.
- •Support for biomedical and behavioral scientists should be maintained at least at present levels.
- •For the support of graduate students in the arts, humanities, and social sciences, a total of approximately 750 additional fellowships per year should be provided under the National Graduate Fellowship Program and other appropriate authorities.
- •In addition, 500 new one-year awards should be authorized annually for dissertation support of students in the arts, humanities, and social sciences.

Discussion

Inflation takes its toll on graduate students as well as everyone else. The Commission, therefore, recommends that adjustments in stipend levels be made regularly. Failure to do so increases the likelihood that students either will not enter graduate study or, given the attraction of starting salaries in the private sector, will drop out before completion of their studies.

Fellowship awards to students are ordinarily limited to three years. Students in the sciences and engineering are often able to support themselves in subsequent years with *researc h assistantships*. Such assistantships are far less available in the arts, humanities, and social sciences. In order to provide modest support to students in these fields during the later years of graduate study, the Commission recommends a new program of dissertation fellowships. These would provide support and an incentive to finish the dissertation as rapidly as possible.

The Commission makes the following recommendations concerning research and training assistantships:

- •Increased federal support for research should be accompanied by an increase in the number of research assistants in all fields.
- •The College Work Study program should be substantially increased, with a sizable portion of additional funds directed to graduate students. Such funds should be used by institutions to support students engaged in research or teaching in their academic fields.

Discussion

The College Work Study program (CWS) provides part-time employment to needy students, including graduate students. Under CWS, which is administered by the college or university, 80 percent of the student's salary is paid by the federal govemment, the remainder by the institution. Only 10 percent of the 983,000 students assisted by this program are graduate students. The Commission recommends that increases in this program be used to provide jobs for graduate students that are

related, if possible, to their academic work.

The Commission makes the following recommendations concerning federal loan programs:

- Graduate students should continue to be eligible for participation in the GSL and NDSL loan programs. Furthermore, the level of interest subsidized for graduate borrowers should remain the same as for undergraduates— as under current law.
- Limits should be increased on the total amounts that students, particularly professional students, may borrow.
- Graduate students should become eligible to participate in federal student assistance programs immediately upon entering graduate school.

Discussion

Guaranteed Student Loans are made by private lenders and subsidized and guaranteed by the federal government. Five thousand dollars may be borrowed each year, up to a total debt of no more than $25,000. Students make no payments for interest or principal while in school. After students graduate, the interest rate is fixed, presently at 8 percent. A Commission survey of state guaranty agencies indicates that through this program about 410,000 graduate and professional students borrowed $1.6 billion in fiscal year 1982.

The NDSL program provides low-interest loans to needy students. Loans are made by colleges and universities using funds provided by both the federal government (80 percent) and the institution (20 percent). Total borrowing (undergraduate and graduate) is limited to $12,000 per student. In 1983, about 826,000 loans will be made. The portion of these made to graduate students, however, is unknown.

The total amount that students may borrow should keep pace with costs, especially for students in the health sciences. If there is not some modification of loan limits, students will find themselves unable to continue their graduate work. The Commission shares the concern of many that loan burdens of students may become unmanageable. However, analyses completed for the Commission suggest that loan burdens for the vast majority of graduates are not excessive. The Commission, therefore, recommends raising on a regular basis total loan ceilings for individual borrowers under GSL and NDSL.

To be eligible for subsidies in both programs, students must have been independent of their parents for at least a full year before applying for aid. Many students remain dependent on their parents while undergraduates, but for all practical purposes become independent once they enter graduate or professional school. Under current policies, such students are ineligible for consideration as independent students to receive federal support based on need during their first year of graduate study. The Commission believes that, provided they are not claimed as dependents on their parents' income tax returns, these students should be considered independent immediately upon entering graduate school.

Appendix B

The University of California in the Twenty-First Century: Successful Approaches to Faculty Diversity

Joyce Bennett Justus, Project Director
Sandria B. Freitag, L. Leann Parker
Spring 1987

Part Four: Conclusions

As should be clear from the preceding text, our literature search and nation-wide interviews have underscored two important aspects of affirmative action efforts. On the one hand, perceptions matter. Whether substantiated by practice or not, how minorities and women respond to their academic environment is conditioned, to a large extent, by what they perceive to be the institution's attitude and willingness to support them. Thus it will be important that the extraordinary efforts mounted by the University of California in the next two decades include important symbolic acts, designed to convey the message that the University and its constituent units have made a commitment to achieving a diversified faculty.

On the other hand, we feel that affirmative action, generally speaking, may have suffered from an undue emphasis on symbols. For that reason, most of the recommendations listed below concentrate on that important transition from institutional commitment to action. Only through extraordinary actions will the University accomplish its goal for the twenty-first century.

Summary of Recommendations

We recommend to the faculty, particularly to departments, that:

1) Creative searches for quality cannot be invoked only when recruiting. They must inform the teaching done by departments for students at various levels, the interaction with postdoctoral fellows and visiting scholars, the searches for new faculty, and the dealings with tenure-track junior faculty.
2) Expressed differently, faculty must always be conscious of the fact that actions they take in relation to undergraduates, graduates, junior and senior faculty colleagues, all affect the "pipeline" and its ability to attract, prepare and promote minority and women along an academic career trajectory.
3) Departments and individual faculty members should design summer and other programs that enable undergraduate

students, including those recruited from other institutions (such as HBCUs and state university campuses with substantial populations of minority students), to participate in faculty research projects. Successful models in the sciences should be adapted to the social sciences and humanities, as well.

4) An important way to build quality into the graduate training of minority and women students interested in researching their own communities, is for social science and humanities departments to ensure that subjects especially relevant to minorities and women be integrated more fully with the methodologies of each discipline.

5) Research and teaching assistantships, in particular, need to be viewed by faculty as experiences designed to "groom" women and minority graduate students to achieve excellence. To accomplish this goal:
   - •The timing of awards of these sources of financial assistance should be deliberately structured to provide maximum training.
   - •Thus research assistantships (RAships) should be provided for the first two years; teacher assistantships (TAships) should be awarded after these two years, when a student has amassed enough information to perform well.
   - •Both RAships and TAships should include close interaction with a faculty sponsor.
   - •In addition, faculty should see their support of the final years of graduate work as similarly crucial. They need to assist graduate students to find fellowships to support the research and write-up phases of the doctoral process. [As is now the case with white male students, they should see their ability to facilitate minority and women students' successes in gaining financial support to be a measure of their own effectiveness in their fields.]

6) Senior faculty members, particularly white males, need to work very consciously on involving minority and women junior faculty members in their departments in near-peer mentor and higher-ranking sponsor relationships. While our observations suggest that formal mentorship programs are often unsuccessful, the goals of such programs could be accomplished informally if senior faculty conscientiously took on these responsibilities voluntarily.

7) Particularly senior faculty members, but all members of the University of California faculty, must consciously work to expand their conceptualization of the larger community of scholars of which they are members. Specifically, they should:
   - •build institutional ties between particular departments, or even subfields within particular disciplines, and faculty involved in those fields who teach at HBCUs and Hispanic equivalents.
   - •consciously work to include minority and women graduate students and faculty (at other institutions as well as UC campuses) in the variety of collaborative enterprises fostered by academia — including conferences, essay collections, professional meetings, and large-scale research projects.
   - •consciously seek out minority and women scholars with whom to exchange research conclusions and drafts prepared for publication.
   - •as well-informed members of a profession that relies heavily on research fellowships, work to ensure that minority and women candidates become fully informed, assisting where possible to make them competitive applicants for grant support.

8) Departments with insufficient numbers of minority and women faculty members need to work consciously to redress the lack of role models they provide graduate students.
   - •Perhaps the most effective short-term solution to this problem is to initiate scholars' exchange programs, in order to bring to campus visiting minority and women faculty, particularly those from HBCUs and Hispanic equivalents. These visits could range from two weeks to a semester or longer.

We recommend to department chairs:

9) Innovative recruiting measures, to ensure the broadest and most diverse pool of candidates possible, should include the following:
   - •more broadly defined specialties listed in job descriptions, perhaps encouraging the option of a specialization in minority and women-focused subject matter within the broader topic area;
   - •recruitment outside the standard locales (of equivalent research universities), including HBCUs and Hispanic equivalents
   - •where applicable, applying professional school-style searches for practitioners who have achieved excellence outside academe
   - •looking for active researchers who earned PhDs but now support themselves in jobs outside the academy
   - •providing fuller consideration for those currently occupying ancillary positions in the University, including part-time, temporary, or non-tenure track slots.

10) Departments can foster the aspects of excellence that encourage productive faculty in several ways. Among the more important, is providing security through clear expressions of departmental and campus expectations for the level and quality of work needed for promotion and tenure, as well as regular and reliable indicators about how each individual is progressing towards these measures. (These ought, in fact, to begin during the interview process.) Where possible, discussion with junior faculty of "successful files" seems especially effective.

11) To encourage maximum productivity before junior faculty are reviewed for tenure, department chairs should ensure judicious and timely use of release time, reduced teaching loads, and assistance/support in preparing fellowship applications.
   - •For maximum effectiveness, we recommend that use of these forms of departmental support be combined with reviews of junior faculty progress, to ensure the clarity of the department's evaluation message, and to convey the department's active support of the growth and professional progress of the faculty member. [p.33]

12) More difficult is the department's ability to control "quality of life" issues, but these often adversely affect the faculty

member's ability to be a productive participant of the department. Department chairs need to pay careful attention to the range of issues inherent in living in the campus community, including housing, schooling, maternity leave and other related issues. Assisting the faculty member in finding solutions to these kinds of problems not only reduces the frustrations and distractions of academic life, but further conveys departmental support.

We recommend to UC chief executives and their administrators:

13) The University should take a national lead in identifying and collecting the data that is necessary to track the training and careers of potential minority faculty.

14) Rather than attempting piece-meal solutions, the University must conceptualize its approach as an integrated series of interventions all along the pipeline. Its strategy must encompass a series of programs that build logically.
- From early outreach programs to efforts to retain full professors, campus and systemwide administrators must see their efforts at each point as building on, and dependent on the success of, previous efforts.
- In particular, the connections need to be emphasized between points of intervention within departmental purview, and those affected by administrative intervention. This emphasis is a management responsibility.

15)Whatever the management style, affirmative action must be measured by the ability of an administrator to translate commitment into action.
- All managers should be held responsible for their contributions to this institutional commitment; measurements of their rates of successes should be included in every review of their work.

16)Chief executives (and their top managers) who practice a "leader" style of management, should invest much of their personal reputation and discretionary resources in developing new programs.
- Each program should target a particular subgroup, and will probably focus on providing support — financial, social, psychological or academic.
- In this context, we reiterate our concern that the programs be conceptualized as points along the supply pipeline.

17)Chief executives (and their top managers) who practice the administrative style we have characterized as "managers," should define what constitutes success.
- They should establish standards against which success should be measured, and offer rewards for achieving affirmative action goals.
- Through an emphasis on "accountability," senior managers should understand that they should be held responsible for achieving institutional goals.

18)Chief executives should analyze the management styles of their institutions, making sure that:
- They are getting the maximum results from the strategies most amenable to their management style.
- They have, within their administrative ranks, enough administrators with the complementary style to achieve maximum results.

19) To underscore the responsibility of department chairs to fulfill institutional commitments to affirmative action, managers should institute appropriate communication and incentive structures.
- Orientation sessions for new chairs should include a module on affirmative action, including training on how to conduct searches; how to identify underrepresented candidates through nontraditional strategies; how to expand interviewing techniques and review procedures to enhance successes, etc.
- Campuses should set a specific, institutionwide goal each year, delineating the role to be played in each department and unit in the community in filling the goal. This "encourages all members of the institution to strive to achieve the goal, provides a specific way to measure success, and allows a campus "to celebrate together" the annual achievements.
- Administrators should enlist departments by providing special funds for those that introduce innovative new ways to enhance their affirmative profiles.
- Awards of positions (FTEs) should be considered, for departments who identify outstanding minority or women faculty even when they do not fit a specialty. This strategy has proven the most effective incentive for affirmative action hiring.

20)Many campuses will be able to send a special message of commitment to affirmative action by repositioning their affirmative action officer.
- This repositioning may include a direct reporting line to the chief executive, enabling the affirmative action officer to deal informally with potential problems.

REVIEW

Summary Report
STONY BROOK CONFERENCE I:

THE ROLE OF THE FACULTY IN MEETING THE NATIONAL NEED FOR AFRICAN AMERICAN, AMERICAN INDIAN AND LATINO SCHOLARS

prepared by
Myrna C. Adams, Conference Director
Elizabeth L. Wadsworth, Consultant

The conference was made possible by grants from
State University of New York Research Foundation
The Carnegie Corporation of New York
The National Science Foundation
Anheuser-Busch Companies
Research Corporation

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Foreword

This conference was conceived in the context of a growing crisis succinctly described by Dr. James E. Blackwell, Professor of Sociology, University of Massachusetts at Boston:

> At the same time that researchers are predicting the need for huge numbers of faculty to replace those persons retiring between 1990 and the year 2000, others are calling attention to what is essentially a crisis in the supply of minorities for faculty positions in America's colleges and universities. That crisis has been precipitated by the failure of many minority group students to move beyond critical transition points to succeeding levels in the educational pipeline. One important consequence of that situation is the diminishing supply of minorities actually trained for faculty positions.

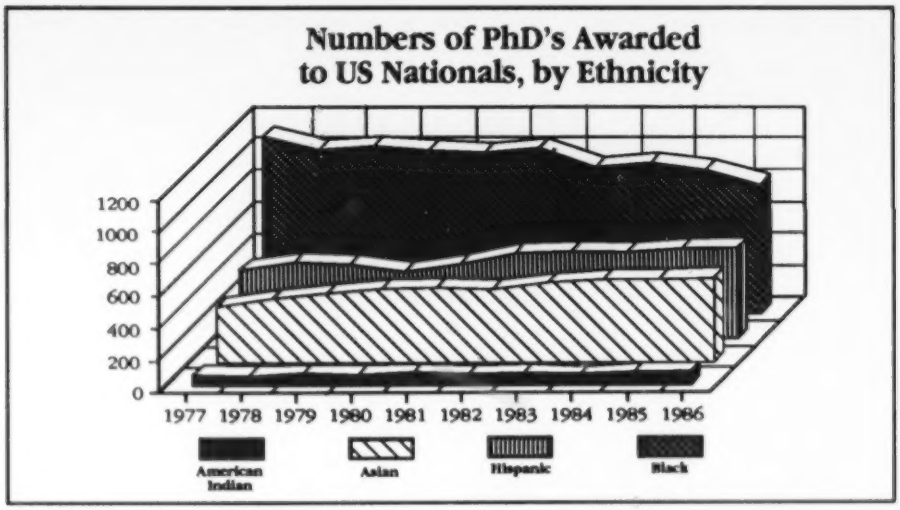
Dr. Homer A. Neal, formerly Provost of SUNY at Stony Brook, comprehended this situation. He saw the importance of bringing concerned academics together to analyze and propose solutions to the specific problem of ethnic minority underrepresentation in doctoral programs—the last transition point in the educational pipeline.

The following charts made from the *NRC Summary Report, 1986, Doctorate Recipients from United States Universities*, illustrate the trends in completion rates over the past decade by both ethnicity and gender. The recommendations contained in the section of our report titled "The Agenda" are strategies/actions designed to redirect the course of events. They all SOUND good, but not one of these ideas means anything until it's been adopted by a faculty member, a department, a division, or an institution. Every single one of these recommendations needs to be thought through in very specific terms and made to conform to the needs and capabilities of the people who are going to take action.

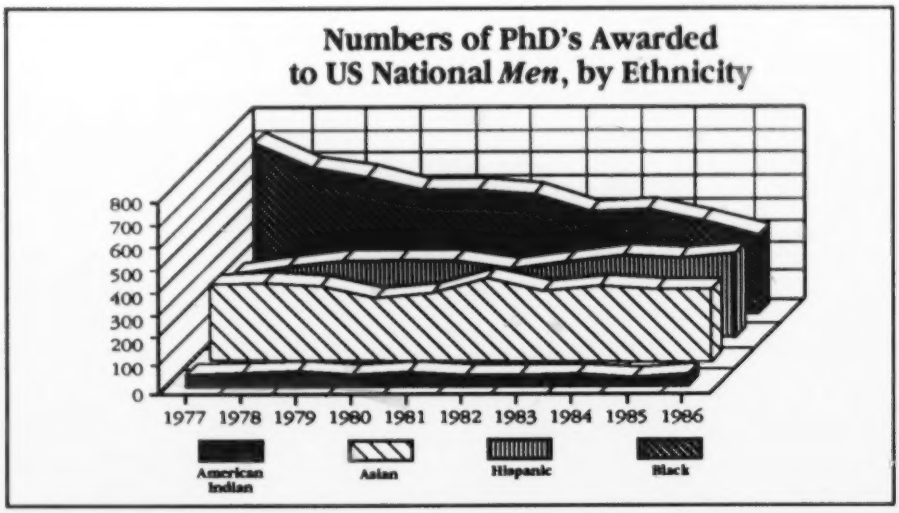
In an ideal world, every institution of higher education would address every recommendation listed. But in the real world—our world—that won't happen. So let us begin realistically by choosing two or three items to which we can make a commitment for this year; next year, we can add more and continue to progress toward the achievement of the goal of maximum development and utilization of the most precious resource we have as a society— the human intellect.

Myrna C. Adams
Assistant Vice Provost for Graduate Studies
State University of New York at Stony Brook

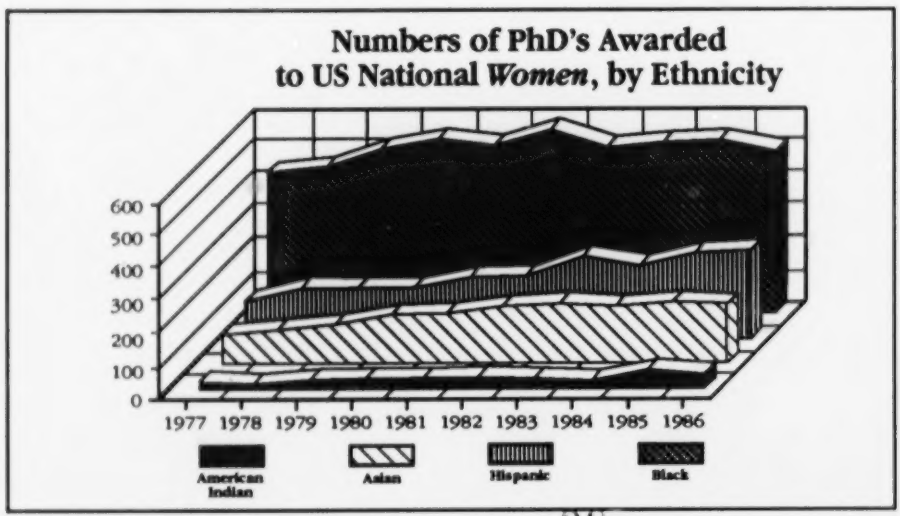
The Total Number of PhD's Awarded in 1986 was 31, 770



The Total Number of PhD's Awarded to Men in 1986 was 20,526



The Total Number of PhD's Awarded to Women in 1986 was 11,244



SUMMARY REPORT

Introduction

In academic matters, when you discuss graduate education, faculty are key. So when Stony Brook convened a multi-ethnic, national advisory committee to design a conference on the declining numbers of people of color enrolling in doctoral programs and completing the Ph.D., the advisors chose "faculty role" as the place to focus, not for the purpose of casting blame, but rather to help find solutions to the problem of underrepresentation.

The Problem. The severity of the problem is shown by the fact that in 1986 African Americans earned 26.5 percent fewer doctorates than in 1976. Doctorates earned by Hispanics increased very slightly from 2.4 per cent to 3.6 percent despite a surge in the Hispanic population in the U.S. The smallest group continues to be the American Indians, who increased from 0.2 percent in 1977 to 0.3 percent in 1986. *(National Research Council Summary Report 1986, "Doctorate Recipients from United States Universities.")*

A complicated conjunction of factors account for this situation: the quality of pre-collegiate education is inferior; parents and counselors often don't encourage young people to make the necessary commitment to achieve the highest degree offered in American universities; peer groups may exert a counter-achievement pressure on one another; money is often a problem; the road to the Ph.D. is rocky and difficult—the programs are rigorous, the environment competitive and often inhospitable to people of color.

Yet for those who do persist, the personal rewards are very high in terms of self-esteem, status, money and power. The social benefits deriving from a highly-educated population, providing the necessary leadership and scholarship we depend upon to maintain our economic and political position in the world, accrue to each of us.

Faculty Control. Expansion of opportunity at the graduate level is directly controlled by faculty, for it is they who admit graduate students, who award assistantships and fellowships, who mentor and advise, and ultimately help to create employment opportunities. Therefore, faculty commitment must exist before any institutional efforts can successfully increase the number of ethnic minority students who earn Ph.D. degrees.

Conference Issues. Our plan was to invite no more than 100 individuals—mainly faculty, selected primarily from the target ethnic groups, from Ph.D. granting institutions and from important national organizations—to a three-day working meeting. Four issues related to the role of the faculty framed our discussions, each one elaborated in a commissioned paper:

1) In what ways can faculty develop more sophisticated procedures to ferret out talent and potential in the graduate admissions process, and how can they contribute to the development of talent at earlier stages of schooling to enlarge the pool of minority students eligible for graduate admission?
2) What is the mentor's role, and how can faculty play that role effectively to increase the success rate of African American, American Indian and Latino scholars in the making?
3) How can faculty work within their disciplinary fields to enlarge the canons and boundaries of scholarship so as to include the interests, concerns and characteristics of ethnic minority people?
4) In what ways can the current faculty incentive and reward systems be used or modified to make changes necessary for more African Americans, American Indians and Latinos to complete advanced degrees?

Participants. Eighty people attended the three-day conference; 45 were full-time teaching faculty, 15 from SUNY university centers and central administration. The rest came from twenty states and Puerto Rico with a preponderance from California, Washington, D.C. and Illinois. The majority of faculty (28) were social scientists, seven represented the humanities, and five each for the biological and physical sciences. Thirty-five participants were administrative, five of whom represented national higher education organizations.

Synopsis of Papers

Issue I. Admissions And Outreach

Leonard A. Valverde, Vice President for Academic Affairs, University of Texas at San Antonio, characterized the recruitment and admission of minority students into graduate education, and their achievement of degrees, as democratizing education. What is today an issue of fairness, he said, will soon become one of economics: Minority populations are growing at a higher rate than the majority population and, increasingly, the U.S. economy depends on educated workers, including those with graduate degrees.

To be more effective for minority (and all) students, higher education must adopt the concept of "value added," not just admitting and graduating successful students, but adding to the individual's development and talent through education. Special admissions for minority students are a mistake, Valverde said. Rather, the university environment should be reconstructed on the assumption that target minority students are intellectually healthy, just undernourished or underprepared.

Faculty can represent the best in society; can link students with the institution; catalyze learning for students; convey information about the campus culture and environment; act as mentors, sponsors, friends to students. Rather than endorsing the neo-Darwinian "survival of the fittest," faculty must take part in creation of the fittest, through the education they can control.

Edgar Epps, Professor of Sociology, University of Chicago, responding to Professor Valverde's presentation, spoke of the academic environment. U.S. graduate institutions form an academic hierarchy, based on institutional prestige, which is self-maintaining and which, left to itself, will resist efforts to make changes upsetting the status quo. Since departments are the most directly responsible for graduate admissions, rewards should go to departments for innovative, successful admissions processes. All faculty, not just minority faculty, must be committed to recruiting and nurturing minority talent. The institution must have unified efforts and must also have adequate financial aid.

Appeal to the altruism of graduate faculty in efforts to increase minority scholars, but reward those who take successful actions.

Howard F. Taylor, Professor of Sociology, Princeton University, reinforced Valverde's point that special minority admissions programs will not continue to work. They must be augmented to make minority admissions and retention integral to the graduate education process, not a stepchild to it. Minorities must be recruited earlier, and criteria for evaluating minority candidates must be reexamined and redefined.

Standardization through reliance on tests—often poor predictors of academic performance—minimizes diversity and encourages enthnocentrism while discouraging ethnic pluralism.

In praising the appendix to Valverde's paper, which includes many specific ways to increase participation and success of minority students in graduate education, Taylor urged those undertaking such measures to attach detailed methods for evaluation.

Elaine J. Copeland, Associate Dean and Assistant Professor of Educational Psychology, University of Illinois at Urbana-Champaign, underscores Valverde's remarks about informal faculty networks that favor majority students and adds that, because of these established channels of communication, faculty members frequently have little or no experience in active recruiting.

Issue II. Mentoring

James E. Blackwell, Professor of Sociology, University of Massachusetts at Boston, placed his review of mentors and mentoring for minority graduate students in a context of low, and in some cases declining, numbers of minority faculty members, and their concentration in few fields. Further, it is inappropriate to expect that because a faculty member is from a racial/ethnic minority, s/he will wish to be or able to be a successful mentor.

Mentoring is a "process by which a person of superior rank, special achievements and prestige, instructs, counsels, guides and facilitates the intellectual and/or career development of a person identified as a protege." Mentors and proteges both have responsibilities. Mentors establish trust, build the protege's confidence in his/her abilities, along with a mind-set for work, time management and consistent effort at learning. Mentors must be available, especially throughout dissertation labors. Proteges have to demonstrate positive attitude, diligence, flexibility, critical thinking, appreciation.

Mentors are most important for those students, including many minority students, who do not know, and would not seek, such unwritten rules as the politics, hidden curriculum and power struggles that influence departmental operations.

Mentoring is especially demanding for minority faculty members. Their usually limited numbers mean they must perform multiple functions as "minority representative" besides all the usual tenure requirements. Unfortunately, in most institutions, mentoring does not receive appropriate departmental, college or university rewards.

Wesley L. Harris, Dean, School of Engineering, University of Connecticut, drew from his Massachusetts Institute of Technology experience a different mentor role, one that emphasizes the rigorous development of research talent.

Two prescriptions for this role: The Ph.D. student must become professionally superior to his/her advisor-confirming the initial judgment in choosing the student and ensuring the continued development of the department/institution. Second, the mentor/advisor must create an "insulated" environment for the student, in which the student can do ground-breaking research without concerns about funding, space, equipment or social variables like gender or race.

Joan C. Payne-Johnson, Professor of Communication Sciences and Disorders, Howard University, reported on a minority graduate student survey on mentoring in which students responded with traditional characteristics when asked about good mentors (knowledgeable, available, committed to students, compatible professional interests and goals, etc.) but reflected more personal needs when asked for the characteristics needed in relation to gender, ethnicity, or nationality (loyal, supportive, compassionate).

Given the documented special needs of minority graduate students, especially on majority white campuses, mentoring for them "will simply have to be given credit where it counts." Minority faculty members cannot mentor several minority graduate students and also do intensive, solitary work to publish several articles a year.

Clifton A. Poodry, Chair, Biology Department, University of California at Santa Cruz, adds to Blackwell's mentor functions these: The good mentor should take the initiative for a good relationship from the start, because the mentor is in the superior, stable position. In building confidence, the mentor must use judgment and sensitivity about helping proteges evaluate themselves soundly. And the mentor must keep the responsibility, the power, in the mentee's hands, not making choices but eliciting justifications that either convince or lead to rethinking.

The mentor should be an exceptional role model for the profession. The mentor need not be the same race or gender; mentoring quality is much more important. The best faculty should be mentors. Minority faculty need not carry the whole burden of mentoring for minority graduate students, but by their dedication to scholarship, they can be positive role models for their colleagues and for the next generation of minority scholars.

Issue III. Enlarging the Canons and Boundaries of Scholarship

Communicentric frames of reference, say Gordon and Rollock, (**Edmund W. Gordon** and **David Rollock**, Professor

and Ph.D. candidate, respectively, Department of Psychology, Yale University), set boundaries to knowledge development in the social sciences and, by extension, probably in other scholarly fields. "Knowledge, technology and scholarship are cultural products and not culture-free phenomena."

Majority-culture paradigms for knowledge can limit that knowledge and constrain the work of minority scholars, much of whose time has to be spent in either refuting biased work or, worse, having to position their own work in frameworks that distort or invalidate the scholar's own knowledge.

An underpinning to more freely comprehensive scholarship must be exploration of relationships between the observer and the observed, including cultural/ethnic influences on both sides. There must be more primary studies of minority populations, and of different subgroups within them, for baseline information.

To increase the possibility that social sciences will represent the diversity and reality of the United States, scholars must become aware of their own values. Since "one cannot be objective, let us at least strive to be honest."

Margaret B. Wilkerson, Professor of Afro-American Studies, University of California at Berkeley, poses transformation, not integration, as the proper goal for minority scholarship. There is a tension between the intellectual/scholar and the academy which is exacerbated by color. Brainpower is a precious resource, so the academy's ties to corporate and government interests are strong. The university's bureaucratic processes of retention and compensation promote careerism rather than intellectual vitality. The academy has lost its public voice.

"Minority scholarship" is at risk because of its revisionist and transforming questions and its public voice, bringing in outrage, questions and experiences of a world excluded.

History of popular entertainment has taken off, using impetus from both Civil Rights and Women's Movements, and has brought change into theatre history, a field formerly devoted to studying an elite art. Disciplines like literature, music and theatre are now redefining what they study and what they value in scholarship.

Minority scholars should not fit too comfortably within the academy as it is presently constituted but should raise questions and produce scholarship that transforms fields and institutions. Transformation, not integration, must be our goal.

Frank Bonilla, Professor of Sociology and Director, Centro de Estudios Puertorriquenos, Hunter College, CUNY, described the work of the Center as an example of action on knowledge-building concerns expressed by Gordon/Rollock and Wilkerson. In the past fifteen years, the Center has had three broad research tasks: setting the record straight (countering stereotypes), filling in the historical record (of incorporation of Puerto Rican peoples into life in the U.S.), and documenting particularities of Puerto Ricans' entry, participation and partial integration into U.S. society. Such studies, far from being small-scale reproductions of general U.S. studies, promise to offer essential insights into U.S. relations within and beyond its borders.

In a lively challenge to orthodox academic behavior, **A. Charlene McDermott**, Provost, City College, CUNY, said that "to ask whether or to what extent good teaching and research are comparative (in the sense of their taking seriously the substance and methodology of cultures and traditions other than one's own) is like asking whether or to what extent Napoleon had expansionist aims. . . . For it is only by drawing on a wide variety of view and belief systems . . . that a genuinely critical appraisal of the beliefs, concepts, logical, grammatical and categorical structures presupposed by and constitutive of one's own theories and practices, is possible."

Raymond T. Garza, Professor of Psychology, University of California at Riverside, described the work of minority scholars in the 60's and early 70's as motivated by a desire to "rectify fallacious depictions of our ethnic groups in the humanities and social sciences." Now, the motivations have changed. In order to increase the number of minority scholars, particularly in research-oriented universities, it will be necessary to start developing future minority scholars at the elementary and preschool levels.

Charlotte Heth, Director, American Indian Program, Cornell University, raised several concerns of American Indian and other minority scholars, particularly in ethnic studies or arts programs: advantages/disadvantages of minority scholarship within ethnic boundaries; institutional support and how to measure it; future research; the case for in-house journals; finding the right research methods; evaluation in performance arts; and getting a mainstream place for minority scholars.

Issue IV. Incentives and Rewards for Faculty

J. Herman Blake, E.M. Lang Visiting Professor of Social Change, Swarthmore College, described a "window of opportunity" for increasing the numbers of African Americans, American Indians and Latinos completing graduate studies in the next two decades: retirement of tenured faculty will be exceptionally high, and the pool from which new students will be drawn is becoming more diverse. But, given the present trends in graduate enrollment, the opportunity will be lost without some major intervention on behalf of the underrepresented minority groups.

The competitive value system at major research universities works against appointment of minority scholars to their faculties: unwritten criteria require that degrees be from "top" universities, that publication be in "top" journals, and that all hiring decisions be made in support of keeping "top" status for the university.

A successful alternative institution is Oakes College at the University of California-Santa Cruz. There, institutional commitment to opening the doors of opportunity led to actions that supported faculty in pursuit of scholarly goals while also providing incentives and rewards for mentoring and motivating minority students. Using such means as release time from professional travel, teaching assistants and tutorials, grant writing support, a Pedagogy Task Force, Oakes College was able to see junior faculty through dissertations, establishment in professional careers and an excellent record of scholarly publication. Important to its success was the fact that the program was designed around faculty needs and their goals and values. This helped them accomplish their own purposes and at the same time act toward a clear college goal.

Blake's closing recommendations were: that people of color be in positions of power over budgets, appointment, promo-

tion and tenure in research institutions and that there be legislative pressure on major public research universities to get them to address issues of equity and access for graduate students and faculty.

Robert Garfias, Dean of Fine Arts, University of California at Irvine, advocates an attitude of "rational cynicism." Rewards and incentives for increased minority presence seem to be most easily accepted when they are not seen as competitive to the existing structure. Therefore, he says, allocations perceived to be from "higher up" are easier to accept than those required to be made at departmental level, even when it's clear that the same pot of resources is involved. Likewise, although it would be best to have minority faculty hired through regular departmental procedures, if these are not working, then alternative special opportunities should be seized. ("It is better to get into the institution from the side door than not at all.")

Homer A. Neal, Chair, Department of Physics, University of Michigan, Ann Arbor, lists possible incentives for faculty to act in the interest of minority students:

Develop a salary assignment process for administrators based, in part, on their effectiveness in implementing university affirmative action policies. This will symbolize institutional commitment. Put the action in the chain of command (provost to deans to chairs to departmental committees) and show that affirmative action is integral to each administrator's job.

Every department should develop an annual academic plan, part of the annual budget process, where performance on affirmative action would be taken into account before final allocation decisions are made.

Faculty who are willing to use some of their time at scholarly conferences to consult substantially with colleagues about recruitment of minority graduate students, or of minority faculty, should be provided with supplemental university travel support.

Faculty who exert special efforts to recruit and mentor minority graduate students above the average expected level should be acknowledged by the university. Research support (recognizing the time factor in getting outside research monies), reduction in teaching load or committee assignments are all possibilities. Something should be done that recognizes the amount of effort required to recruit and retain minority graduate students.

Incentives are not a long term solution. They are justifiable now because of the dangerous decline in minority graduate students at precisely the time their numbers should be rapidly growing, both for the benefit of those historically denied access and for the nation which will increasingly need their talents.

Given the scarcity of research funds and the pressure to succeed, special funds for minority faculty research is an effective support for junior faculty. Entering graduate students and junior professors need, also, some kind of live-in indoctrination program comparable to EOP summer entrance programs for freshmen. We need to do much more in the way of graduate student and junior faculty mentoring.

Donald L. Fixico, Professor of History, University of Wisconsin at Milwaukee, suggested increasing fellowships to minority graduate students to include funding for the faculty member's research project on which the student would help work in a mentor-student relationship. Research monies are a major incentive for faculty.

The Agenda

A primary conference objective was to identify specific things faculty members can do to make a difference, along with policies and actions inside and outside institutions that will support faculty doing those things.

Following the plenary discussions of the four issues, working groups were convened to focus on the topic each person considered to be his/her most pressing single issue. The following recommendations emerged from this process.

Issue I. Admission and Outreach

Recommendations:

1) Explain demographic realities
2) Gather and use statistical data on students from target groups by department, by institution
3) Identify impediments (e.g.) GRE scores, for under- represented groups and subject them to scholarly analysis not uninformed bias
4) Produce more well prepared undergraduate students—
   - Involve undergraduates in graduate research projects
   - Develop "bridge programs" between senior high school and the freshman year; between undergraduate seniors and graduate programs
   - Emphasize and reward high-quality teaching and learning all levels
5) Motivate potential students by drawing on faculty interest and time—
   - Increase the amount of formal and informal interaction with undergraduate students
   - Articulate for students the value and pleasures of the teacher/scholar's life
   - Provide opportunities for undergraduate students to experience collegial, graduate-like learning
   - Develop Early Identification Programs—the earlier the intervention, the more effective it will be
   - Invite high school students, parents and teachers of younger children to learn at the University in all kinds of short-term, Summer and evening programs
   - Create centers to identify and develop talent, training professionals to run them, and giving continuing education opportunities for parents and lay people.
6) Lodge in the faculty responsibility for recruiting graduate students to the institution—
   - Define the faculty role to include participation in recruitment
   - Institutional minority recruitment programs do not supplant departmental efforts
   - Departmental funds should be directed toward target populations
   - Expand the reach of recruitment efforts to include working

people and those enrolled in less prestigious institutions
7) Persuade departments to change their focus in recruiting and admitting graduate students—
- •Review admissions criteria for their relevance to PERFORMANCE in graduate school
- •Place more emphasis on the WHOLE student focusing on his/her progress over time
- •Distinguish individual differences in preparation with sensitive diagnosis and course placement, but with full admission and financial support.
- •Provisionally admit students with demonstrated capacity but needing coursework to fill in gaps in background

8) Develop networks that support "minority" recruitment efforts
- •Establish visiting scholar programs, faculty-student exchanges
- •Form partnerships with other institutions
- •Improve articulation arrangements between master's and doctoral programs at different institutions
- •Make better use of "minority" alumni

9) Identify talent in non-traditional places—
- •Consider students in terminal master's programs
- •Reach out to working professionals
- •Provide opportunity for "returning scholars" and ABD's

Issue II. Mentoring

NOTE: We believe that the strategies proposed would improve the success rate of ALL students, not just "minority" students; that the availability of a mentor will enhance the benefits of graduate education.

A. Analysis

The mentoring role and degree of faculty involvement in it will be influenced by institutional norms, values and mission. These determinants are influenced by processes of faculty socialization and the prior experiences of faculty themselves as graduate student scholars in the making.

Variation in the mentoring process seems to be differentiated by fields of study. In order to understand the role of mentoring and its structures, such field/discipline distinctions need to be incorporated into the analysis.

Absent any formal institutional structures and policies, mentoring will be an entirely individual and idiosyncratic phenomenon, the issue of EFFECTIVE mentoring and a consensus as to its importance will not be addressed by the faculty.

The paucity of "minority" faculty creates a dilemma: cultural and value differences between students of color and faculty of European heritage can create misunderstandings, misperceptions, knowledge voids and communication barriers; yet, the responsibility cannot be left on the shoulders of the decreasing numbers of "minority" faculty.

B. Recommendations:

1) In predominantly white institutions, cultural knowledge and sensitivity to ethnic and racial minorities need to be imparted to faculty on a systemmatic basis.
2) Well-planned initiatives with positive reinforcement mechanisms must be instituted at the highest levels.
3) Institutional recognition and valuing of mentoring needs to be prominently manifested by the words and deeds of administrators through the allocation of resources and the establishment of meaningful reward systems.
4) Faculty workshops on mentoring should be periodically conducted by successful mentors.
5) The role of faculty should be defined primarily as identifier and developer of talent—even in research universities.
6) Faculty should apply their academic skills to the development of fair, accurate and valid measures of effective advising and mentoring and promote the concept of mentoring through professional organizations.
7) A monitoring system needs to be established in which accountability for mentoring is defined and operationalized. Institutional data-keeping and analysis are critical.
8) A CAVEAT: Special programs developed for "minority" students to increase their participation may have the unintended effect of isolating these students from their peers, thus precluding full integration and potentially jeopardizing successful completion and future career opportunities.
9) Graduate students should play an active role in improving the mentoring process:
- •publications providing a comprehensive and accurate portrayal of graduate education should be produced
- •a document detailing the rights, responsibilities and privileges that redound to every graduate student should be produced
- •students should play an important role in planning and participating in the orientation of new graduate students
- •"minority" students should increase their participation in graduate student associations and/or establish an organization to serve as a social-advocacy- support group
- •the Graduate Dean should create a student advisory committee to offer critiques and suggestions especially on the recruitment and retention of "minority" graduate students.

10) Senior faculty and emeritus faculty, as opposed to junior faculty, should assume the role of mentor for students of color.

Issue III. Enlarging the Canons and Boundaries of Scholarship

A. Analysis

Institutions of higher learning are as likely to be affected by external pressure as they are by internal efforts that are generated by the small minority professoriate. In the 1960's and 1970's, we witnessed changes in response to the activities of people of color demanding some accountability and social responsibility from institutions of higher education.

We considered the establishment of a scholarly "movement" that would focus both internally (within the academy) and externally (to our communities and appropriate organizations) on how to influence and support the development of a scholarship which could be named "Pluralism in Scholarship", "Transformational Scholarship" or "Scholarship of Diversity"

B. Recommendations

1) Form a multi-racial scholarly movement to support research and scholarship that is focused on issues and concerns that relate to Black, Latino and Indian communities.

2) Increase activity in professional associations and actively pursue positions on editorial review boards to influence the scholarly review process and the agendas of the associations and the publications.
3) Gather and share lists of organizations that encourage and support non-mainstream academics.
4) Broaden participation in our next conference to include: graduate students and non-academics, editors of mainstream academic journals.
5) Establish a list of academics of color who do research that is not mainstream or traditional for distribution to predominantly white campuses for lectures, departmental reviews, etc.
6) Summarize our concerns about broadening the canons and boundaries of the disciplines and share them with other organizations and individuals.

Issue IV. Incentives and Rewards for Faculty

A. Analysis

We need to change the discourse which has hitherto been in the language of "affirmative action", and reframe the issues in terms of "protecting our scarce resources."

Our rationale is provided by the changing demographic picture of increasing numbers of people of color, increasing numbers of retirees within the next twenty years, and the LOSS OF HUMAN TALENT that the nation can ill afford.

B. Recommendations:

1) We can recognize and reward faculty who effectively work to develop "minority" students by establishing—
   - fellowships and grants as rewards for outstanding work with our students
   - leave time for faculty to develop curricula, work on minority recruitment, and mentor minority student
   - travel monies
   - salary increments tied to success in nurturing minority students
   - special merit funds designated for outstanding work with minority students
   - research funds
   - research equipment
   - individual awards in the form of peer recognition, e.g., "Mentor of The Year Award"
2) We can develop opportunities to nurture and develop African American, American Indian and Latino faculty by providing—
   - professional development leave time
   - hiring set-asides targeted specifically for target groups
   - faculty exchange opportunities
   - visiting professorships
   - conference funding
3) Enabling mechanisms start with an ACADEMIC PLAN that builds these issues into the overall mission of the institution and provides for clear goals and timetables, resources to meet the goals, mechanisms for monitoring and review.
4) Other enabling mechanisms include—
   - faculty orientation workshops and seminars
   - Dean and Department Chair workshops
   - collaboration across divisions/disciplines
   - institutional collaboration and consultation in recruiting and hiring
   - internal monitoring points: chairs, deans, faculty senates, unions, CEO, trustees
   - external bodies who can provide additional impetus: legislatures,coordinatingbodies, accrediting agencies,professiona l associations, national organizations.

Conference Follow-up

Conference proceedings will be published in late 1988.

An hour-long, broadcast-quality videotape is being edited and should be released in the Summer of 1989.

Other follow-up activities will include a newsletter and future action-oriented conferences. Participants are committed to finding forums in professional meetings and journals to disseminate the ideas and recommendations from the conference.

From all accounts, this meeting had a significant personal meaning to all who attended, and we are seeking effective means to extend the impact to a larger audience.

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